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Attorney Docket No. DEM IP007

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the Patent Application of: NEAL et al.

Serial No. : 09/888,340

Art Unit: 3623

Filed: June 22, 2001

Examiner: Robinson Boyce, Akiba K.

For: PRICE OPTIMIZATION WITH RULE RELAXATION

Mail Stop: Non-Fee Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

September 2, 2003

Dear Sirs:

CERTIFICATE OF EXPRESS MAILING

I hereby certify that this paper and the documents referred to as attached therein are being deposited with the United States Postal Service on September 2, 2003 in an envelope as "Express Mail Post Office to Addressee" service under 37 CFR §1.10, Mailing Label Number EU717467051US addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA. 22313-1450.

Signed: Kang S. Lim
Kang S. Lim

INFORMATION DISCLOSURE STATEMENT FILED
UNDER 37 C.F.R. §§ 1.56 AND 1.97(b)

Pursuant to 37 C.F.R. § 1.56, Applicants bring the following documents to the Examiner's attention in the referenced application.

– Citation of the above documents shall not be construed as an admission that the documents are necessarily prior art with respect to the referenced application. Furthermore, citation of the above documents shall not be construed as a representation that a search has been made or an admission that the information cited herein is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):



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- X 37 C.F.R. § 1.97(b). This Information Disclosure Statement is: (i) filed within three (3) months of the filing date of the above-referenced application, (ii) believed to be filed before the mailing date of a first Office Action on the merits or, (iii) believed to be filed before the mailing of a first Office Action after the filing of a Request for Continued Examination under §1.114. Accordingly, it is believed that no fees are due in connection with the filing of this Information Disclosure Statement.
- 37 C.F.R. § 1.97(c). This Information Disclosure Statement is filed after the period specified in C.F.R § 1.97(b), but before the mailing date of either (i) a final action under § 1.113 or, (ii) a notice of allowance under § 1.311.
- A certification pursuant to 37 C.F.R. §1.97(e) or
- A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

If the Examiner has any questions or comments with respect to the present application, the Examiner is respectfully invited to telephone the undersigned at (925) 570 8198.

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Respectfully submitted,


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 LIST OF DOCUMENTS CITED BY APPLICANT TO COMPLY WITH 37 C.F.R. 1.56	U.S. DEPARTMENT OF COMMERCE	ATTY. DOCKET NO.	SERIAL NO.
	PATENT AND TRADEMARK OFFICE	DEM1P007	09/888,340
		APPLICANT	NEAL
	FILING DATE	GROUP	
	06/22/01	3623	

U.S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	TRANSLATION
	BA	WO 98/53415	11/26/1998	Ouimet et al.	RECEIVED SEP 05 2003 GROUP 3600		IS NO

OTHER DOCUMENTS (*Including Author, Title, Date, Pertinent Pages, Etc.*)

	CA	"PCT International Search Report", Application Number PCT/US02/36710, mailed July 21, 2003.
	CB	YOEMAN, JOHN CORNELIUS JR., "The Optimal Offering Price for Underwritten Securities", 1993, Volume 55/01-A of Dissertation Abstracts International, Page 4743 (Abstract Only).

EXAMINER	DATE CONSIDERED
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.